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JC931 U.S. PTO
09/29/01

SD6914/S97542
Express Mail No.: EL026586530US

ASSISTANT COMMISSIONER FOR PATENTS
BOX PATENT APPLICATION
WASHINGTON, D.C. 20231

JC971 U.S. PTO
09/998114
11/29/01

UTILITY PATENT APPLICATION TRANSMITTAL
Under 37 CFR 1.53(b)

Transmitted herewith for filing is the patent application of

INVENTOR(S): Karen E. Waldrip, Jung Han and Stephen R. Lee

FOR: DISTRIBUTED BRAGG REFLECTOR USING
AlGaIn/GaN

I. APPLICATION ELEMENTS

1. ☒ Fee Transmittal Form (original + duplicate)
2. ☒ Specification
Total Pages 11
3. ☒ Drawings
Total Sheets 4
4. ☒ Oath or Declaration (with Power of Attorney) Total Pages 3
 - a. ☒ Newly Executed
 - b. ☐ Copy from Prior Application
(Continuation or Divisional)
☐ Deletion of Inventors
Signed Statement Attached Deleting Inventor(s) named in
prior Application. 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation by Reference (if Box 4b is checked). The entire
disclosure of the prior application(s) from which a copy of the
Oath or Declaration is supplied under Box 4b, is considered as
being part of the disclosure of the accompanying application and
is hereby incorporated by reference therein.
6. ☐ Microfiche Computer Program (Appendix)

II. ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet and document(s))
8. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☒ Power of Attorney (with the Declaration)
9. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
10. ☐ Preliminary Amendment
11. ☒ Return Receipt Postcard (Itemized)
12. ☐ Other

III. IF A CONTINUING APPLICATION

☐ Continuation ☐ Divisional ☐ Continuation-in-Part (CIP)

of prior application No. __/____

IV. CORRESPONDENCE ADDRESS

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Dated: 11-29-01

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CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U. S. Postal Service on the 29th day of November, 2001, in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number EL026586530US, addressed to the: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

Marilynn A. Gabel
Marilynn A. Gabel

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL
FOR FY 2002**Patent fees are subject to annual revision.
Small Entity payments must be supported by a small entity statement,
Otherwise large entity fees must be paid. See Forms PTO/SB/09-12.**TOTAL AMOUNT OF PAYMENT (\$)** **740.00****Complete if Known**

Application Number	
Filing Date	November 29, 2001
First Named Inventor	Karen E. Waldrip
Examiner Name	
Group / Art Unit	
Attorney Docket No.	SD6914/S97542

METHOD OF PAYMENT (check one)The Commissioner is hereby authorized to charge
1. ☒ indicated fees and credit any over payments to:Deposit Account Number **19-0131**Deposit Account Name **Sandia Corporation**☒ Charge Any Additional
Fee Required Under
37 CFR 1.16 and 1.172. **Payment Enclosed:**☐ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) **\$ 740****2. EXTRA CLAIM FEES**

	Extra Claims	Fee from below	Fee Paid
Total Claims	14	-20**= 0	X 0 = 0
Independent Claims	3	- 3**= 0	X 0 = 0
Multiple Dependent			

**or number previously paid, if greater; For Reissues, see below.

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) **(\$)** **0****FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840	11	1,840	Requesting publication of SIR after Examiner	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final refection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
Other fee (specify)					
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) **(\$)****SUBMITTED BY**Typed or Printed Name **ELMER A. KLAVETTER**

Signature

Elmer A. Klavetter

Date

11-29-01**Complete (if applicable)**

Reg. Number

42,743Deposit Account
User ID**19-0131**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

NONPUBLICATION REQUEST UNDER 35 U.S.C. 122(b)(2)(B)(i)	First Named Inventor		Karen E. Waldrip
	Title	Distributed Bragg Reflector Using AlGaIn/GaN	
	Atty Docket Number		SD6914/S97542

I hereby certify that the invention disclosed in the attached application **has not and will not** be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing.

I hereby request that the attached application not be published under 35 U.S.C. 122(b).

11-29-01

Date

Elmer A. Klavetter

Signature

Elmer A. Klavetter, No. 42,743

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Application may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**